

FILED: January 6, 2012

UNITED STATES COURT OF APPEALS
FOR THE FOURTH CIRCUIT

No. 10-1207
(1:04-cv-00518-JFM)
(1:04-md-15863-JFM)

GLORIA STEINBERG; MICHAEL GAINES; SHARON GAINES; ROGER
BAILEY; JOSEPH CORDANI; BARBARA CORDANI; MICHAEL LIPSTEIN;
JAMES E. SCHULTZ; RHONDA VLADIMIR; ROBERT K. FINNELL;
SHERRY CHAIT; GERALD CHAIT; MEI HUNG; JASON HUNG; ROBIN
RESNICK; DOREEN DUKE; LAURI C. BADER; SYLVIA VOLIN; GEORGE
TSETSEKOS; LAWRENCE A. STIGAS; JEAN STIGAS; ERIK P. GAGNON;
MARK J. KEANE; REIKO GAGNON; KATHARINE CLARK

Plaintiffs - Appellants

v.

JANUS CAPITAL MANAGEMENT, LLC; JANUS CAPITAL GROUP,
INCORPORATED; JANUS INVESTMENT FUND, Nominal Defendant; JANUS
ASPEN SERIES, Nominal Defendant; JANUS ADVISER SERIES, Nominal
Defendant; JANUS DISTRIBUTORS, LLC

Defendants - Appellees

and

CANARY CAPITAL PARTNERS, LLC; CANARY INVESTMENT
MANAGEMENT, LLC; CANARY CAPITAL PARTNERS, LLC; EDWARD J.
STERN; BANC OF AMERICA SECURITIES, LLC; BANK OF AMERICA
CORPORATION; CIBC WORLD MARKETS; CIBC SECURITIES,

INCORPORATED; WALL STREET GLOBAL, LLC; TRAUTMAN
WASSERMAN & COMPANY, INCORPORATED; SMITH BARNEY
CITIGROUP; PRITCHARD CAPITAL PARTNERS, LLC; GOLDEN GATE
FINANCIAL GROUP, LLC; AURUM SECURITIES CORPORATION; AURUM
CAPITAL MANAGEMENT CORPORATION; PERKINS WOLF MCDONNELL
& COMPANY; BAY ISLAND FINANCIAL, LLP; ENHANCED INVESTMENT
TECHNOLOGIES, LLC

Defendants

M A N D A T E

The judgment of this court, entered December 2, 2011, takes effect today.

This constitutes the formal mandate of this court issued pursuant to Rule
41(a) of the Federal Rules of Appellate Procedure.

/s/Patricia S. Connor, Clerk